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QUESTION 1

_____ are investment securities that do not fall under one of the other types of securities. Examples of these are Type III securities including corporate bonds and municipal bonds.

- A. Type II Securities
- B. Type III Securities
- C. Type I Securities
- D. Type IV Securities

Correct Answer: A

QUESTION 2

Some specific requirement of securities Exchange Act of 1934 are all of the following EXCEPT:

- A. Credit Regulations
- B. Manipulation and Deception
- C. Insider rules
- D. Articles of incorporation

Correct Answer: D

QUESTION 3

Deposit accounts are either interest bearing or non-interest bearing. Interest bearing accounts includes _____ and _____. The types of accounts bear interest for a fixed period of time and are known as time deposits.

- A. Savings accounts, certificates of deposit
- B. Savings accounts, term deposit
- C. Certificate of deposit, Savings accounts and certificates of deposit
- D. Savings accounts, certificates of deposit and non-interesting bearing account

Correct Answer: A

QUESTION 4

Which two of the following characteristics apply to universal life insurance policies? To provide the insured with a number of investment options.

II. To provide the insured with a minimum guaranteed cash value.

III. To provide a cash value fund that accumulates tax deferred.

IV.

To provide flexibility of both premium and death benefits.

A.

I and IV

B.

II and III

C.

III and IV

D.

I and III

Correct Answer: C

QUESTION 5

The term "thrift institution" is referred to:

A. Savings banks

B. Savings and loan associations

C. Saving banks and saving loan associations

D. Mortgage banks

Correct Answer: C

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